

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :  
Kazuhiro YOSHIDA et al. :  
Serial No. NEW : **Attn: APPLICATION BRANCH**  
Filed September 15, 2003 : **Attorney Docket No. 2003-1243A**  
  
PRODUCTION PROCESS FOR  
SILSESQUOXANE DERIVATIVE  
HAVING FUNCTIONAL GROUP  
AND SILSESQUOXANE DERIVATIVE :  
  
THE COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEE FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975.

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of ☒ the references listed on attached form PTO-1449 and/or ☐ the additional information identified below in paragraph 3. A legible copy of each reference listed on the form PTO-1449 is enclosed.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, or

before the mailing date of the first Office Action on the merits,

**and thus no certification and/or fee is required.**

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, **or**

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and**

**the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or

b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

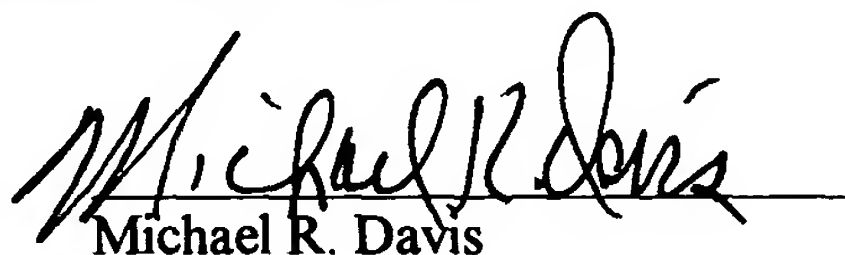
3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
  - b. ☐ a foreign patent office search report (in the English language) submitted herewith,
  - c. ☐ the concise explanation contained in the specification of the present application at page ,
  - d. ☐ the concise explanation set forth in the attached English language abstract,
  - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☐ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Kazuhiro YOSHIDA et al.

By:



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September 15, 2003

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FORM PTO 1449 (modified)  U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  LIST OF REFERENCES CITED BY APPLICANT(S) <i>(Use several sheets if necessary)</i>  Date Submitted to PTO: September 15, 2003				ATTY DOCKET NO. 2003-1243A		SERIAL NO. NEW	
U.S. PATENT DOCUMENTS				APPLICANT Kazuhiro YOSHIDA et al.			
FILING DATE September 15, 2003				GROUP			
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	2003/0055193	3/20/03	Lichtenhan et al.			
	AB						
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES      NO
	AC	0 616 001	5/1997	Europe			
	AD						
OTHER DOCUMENT(S) <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>							
	AE	Abstract of JP57012057 published January 21, 1982.					
	AF	Abstract of JP59213728 published December 3, 1984.					
	AG	Abstract of JP10087834 published April 7, 1998.					
	AH	Abstract of JP60086017 published May 15, 1985.					
	AI	Ronald H. Baney et al., "Silsesquioxanes", Chem. Rev. 95, 1409-1430, 1995.					
	AJ	Cecil L. Frye et al., "The Oligomeric Silsesquioxanes", Journal of the American Chemical Society, 92, 5586-5588, September 23, 1970.					
	AK	Alan R. Bassindale et al., "Siloxane and Hydrocarbon Octopus Molecules with Silsesquioxane Cores", J. Mater. Chem., 3 (12), 1319-1325, 1993.					
	AL	Poss Chemical Catalog, "Hybrid Plastics", pages A-1 to U-2, 2000.					
EXAMINER				DATE CONSIDERED			

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.